

<p align="center">U.S. DEPARTMENT OF ENERGY</p> <p align="center">NATIONAL TRANSPORTATION PROGRAM - ALBUQUERQUE</p> <p align="center">Motor Carrier Evaluation Program (MCEP)</p> <p align="center">Standard Operating Procedure 002</p>			
<p align="center">Title: Requirements for NTP-A, DOE, Contractor Program Lead, and/or Contractor Transportation Personnel to Conduct the Onsite Motor Carrier Evaluation Process</p>			
<p>Procedure No:</p> <p align="center">NTP-A-MCEP.002</p>	<p>Revision No:</p> <p align="center">8</p>	<p>Date:</p> <p align="center">November 2004</p>	<p>Page:</p> <p align="center">Page 1 of 30</p>

1. PURPOSE

This procedure specifies a consistent approach to performing Stage 2 Onsite Evaluation activities in compliance with the requirements identified in the Motor Carrier Evaluation Program (MCEP) Management and Methodology Plans.

This procedure applies to the U.S. Department of Energy's (DOE) National Transportation Program-Albuquerque (NTP-A), DOE, Contractor Program Manager, Contractor Program Lead, and/or Contractor Transportation Personnel performing onsite evaluation activities as identified in the MCEP Management and Methodology Plans.

2. REQUIREMENTS, REFERENCES, ACRONYMS, AND DEFINITIONS

2.1 Requirements

- a. National Transportation Program *Motor Carrier Evaluation Program (MCEP) Management Plan*.
- b. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," October 26, 1995.
- c. DOE Order 460.2, Change 1, "Contractor Requirements Document," October 26, 1995.
- d. DOE G-460.2-1, "Implementation Guide for Use with DOE Order 460.2," November 15, 1996.
- e. DOE Order 200.1, "Information Management Program," September 30, 1996.

2.2 References

- a. *Code of Federal Regulations*, Title 10, Part 71, "Packaging and Transportation of Radioactive Material," as amended.
- b. *Code of Federal Regulations*, Title 40, Part 263, "Standard Applicable to Transporters of Hazardous Waste," as amended.
- c. *Code of Federal Regulations*, Title 49, Parts 100-180, as applicable, "Hazardous Materials Regulations," as amended.
- d. *Code of Federal Regulations*, Title 49, Parts 40 and 355-399 as applicable, "Federal Motor Carrier Safety Regulations," as amended.

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2.3 Acronyms

CFR	Code of Federal Regulations
CMV	Commercial Motor Vehicle
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
DVIR	Driver Vehicle Inspection Report
EPA	U.S. Environmental Protection Agency
FMCSA	Federal Motor Carrier Safety Administration
FMCSR	Federal Motor Carrier Safety Regulations
HAZMAT	Hazardous materials
HOS	Hours of Service
HRCQ	Highway Route Controlled Quantities
MCEP	Motor Carrier Evaluation Program
NTP	DOE National Transportation Program
NTP-A	DOE National Transportation Program-Albuquerque
OOS	Out of Service
OSHA	Occupational Safety and Health Administration
RSPA	Research and Special Programs Administration
SEA	Safety Evaluation Area

2.4 Definitions

MCEP NTP-A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; controls the dissemination of information from the evaluation process to the field; schedules onsite evaluations, ensures that evaluators (MCEP Team Members) are both qualified and instructed in the MCEP process, and acts as the point-of-contact for the DOE Suspending/Debaring official.

MCEP Contractor Program Manager: Provides day-to-day support of MCEP activities under the direction of the NTP-A Program Manager.

MCEP Contractor Program Lead: Ensures initial carrier screening is performed; initiates contact with carriers; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP-A; and evaluates information on carrier performance metrics received in any of the three stages of the MCEP process.

MCEP Team Member: Individuals qualified by experience and/or instructed to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

Truckload (TL): For the purposes of this program, any shipment of 10,000# or greater tendered to a carrier at one time, on one bill of lading, will be considered a Truckload (TL) shipment.

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Less-Than-Truckload (LTL): For the purposes of this program, any shipment weighing less than 10,000#, tendered to a carrier at one time, on one bill of lading, will be considered a Less-Than-Truckload (LTL) shipment.

3. GENERAL

3.1 Preliminary Evaluation Report

A Preliminary Evaluation Report is prepared for each carrier proceeding to the onsite evaluation process. The purpose of this report is to transmit information obtained by the Contractor Program Lead during the initial carrier screening process to the national/local evaluation team members selected to perform the onsite evaluation. This report contains copies of the current SafeStat statistics, the MCEP Carrier Information Report (CIR), the completed questionnaire, and other relevant documentation submitted by the carrier. The report includes a short narrative identifying questions or areas of concern that should be addressed by the onsite evaluators in addition to the checklist items.

3.2 National and Local MCEP Evaluation Teams

National MCEP evaluation teams: Comprised of subject matter experts (SME) assigned to evaluate carriers that provide transportation services to DOE on a nationwide basis or have tenders filed with the NTP-A. Carriers designated as "national" may include those providing transportation services to more than one DOE sites.

Local MCEP evaluation teams: Comprised of DOE, SME (with the agreement of the NTP-A Program Manager), and/or contractor transportation personnel who have been selected to evaluate the carriers that service their particular site. If DOE or contractor transportation personnel wish to evaluate the local terminal of a national carrier, it is their responsibility to do so, and not the responsibility of the NTP or the Contractor Program Manager. Carriers designated as "local" may include those providing transportation services to one site or a group of sites under the oversight of one operations or field office.

Local evaluation teams are responsible for scheduling the onsite evaluation, contacting the carrier, and sending all supporting documentation from the evaluation to the Contractor Program Lead.

All evaluators (national or local) must be trained in the requirements of MCEP Revision 8 before they can participate in the program. A listing of mandatory courses and evaluator qualifications that are considered a prerequisite for training can be found in Section 3 of the MCEP Management Plan.

3.3 DOE Mandatory Onsite Evaluation Tables

Questions found in Tables A through F in Attachment I should be answered either "yes," "no," or "not applicable" (N/A). The use of "N/A" should be reserved only for instances in which the activity in question is not required. "NA" should not be used if "no" is the more appropriate answer. In situations where the response is neither fully "yes," nor fully "no," the carrier or

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evaluators should select "no" as the answer. Only objective evidence should be collected to support either "yes" or "no" answers. Objective evidence is defined in International Organizations for Standards (ISO) document ISO 8402:1994, Quality Management/Assurance Vocabulary, as "information that can be proved true, based on facts, obtained through observation, measurement, test, or other means." If an answer to a question is provided via conversation with an evaluator, that answer must be corroborated either by another person who understands or is involved with that particular process, or by the evaluator's own observation of the process.

4. PROCEDURE

- a. Contractor Program Lead in concert with NTP-A Program Manager schedules the onsite evaluation with the selected motor carrier, which includes phone call to set up initial date and time, and sends Carrier Contact Confirmation Letter (Attachment B).
- b. Contractor Program Lead prepares Preliminary Evaluation Report and sends it along with carrier-submitted documentation and safety information to personnel who are going to perform the onsite evaluation (national or local).
- c. Evaluators perform the onsite evaluation. This will include but is not limited to:
 - Entrance Briefing
 - Verification of Document Sample Sizes (Attachment C)
 - Use of Checklists (Attachments D-H) for Records Reviewed
 - Use of DOE Mandatory Onsite Evaluation Tables and Criteria (Attachment I)
 - Exit Briefing.
- d. When the onsite evaluation is completed, the national or local evaluators will send all supporting documentation to the Contractor Program Lead.
- e. NTP-A and/or Field Office will determine approval status of the carrier based on the information provided by the evaluation team as applicable.
- f. If the carrier meets all of the DOE Mandatory Criteria (Attachment I) without any findings, NTP-A and/or Field Office will send the Carrier Close-Out Letter (Attachment K) advising them that they are approved to perform transportation services for DOE and its contractor transportation organization as applicable.
- g. Contractor Program Lead will update MCEP Approved Carrier List and forward to MCEP Program Manager for submittal to DOE complex.
- h. If the carrier does not meet all of the DOE Mandatory Criteria (Attachment I) and/or findings were discovered during the onsite evaluation, NTP-A and/or Field Office will send the Carrier Finding Response Letter (Attachment J) with requirements for approval as approval. A response from the carrier will be necessary. The carrier has up to 60 days to submit a corrective action plan.
- i. Once the corrective action has been received, it is at the NTP-A Program Manager's discretion to determine whether or not another onsite evaluation is warranted to verify the corrective actions.
- j. Attachment A contains a flow diagram depicting the overall work process associated with this procedure.

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5. RECORDS

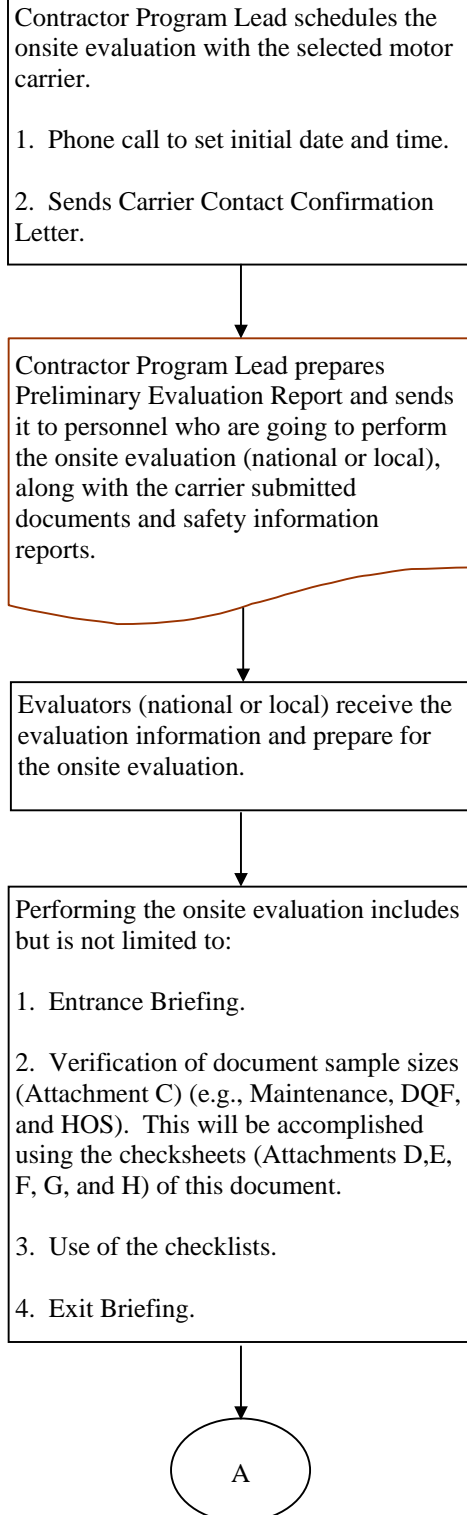
Records generated as a result of this procedure are to be identified, classified, and prepared in accordance with DOE Order 200.1, and managed in compliance with the requirements specified in DOE Guidance 200.1. At minimum, the following are to be considered QA records:

Onsite Carrier Confirmation Letter
Vehicle Maintenance File Checklist
Vehicle Inspection (Physical) Checklist
Driver Qualification File Checklist
Driver's Record of Duty Status Checklist
HAZMAT Employee Training Checklist
DOE Mandatory Onsite Evaluation Tables and Criteria
Carrier Closeout Letter
Carrier Finding Response Letter

6. ATTACHMENTS

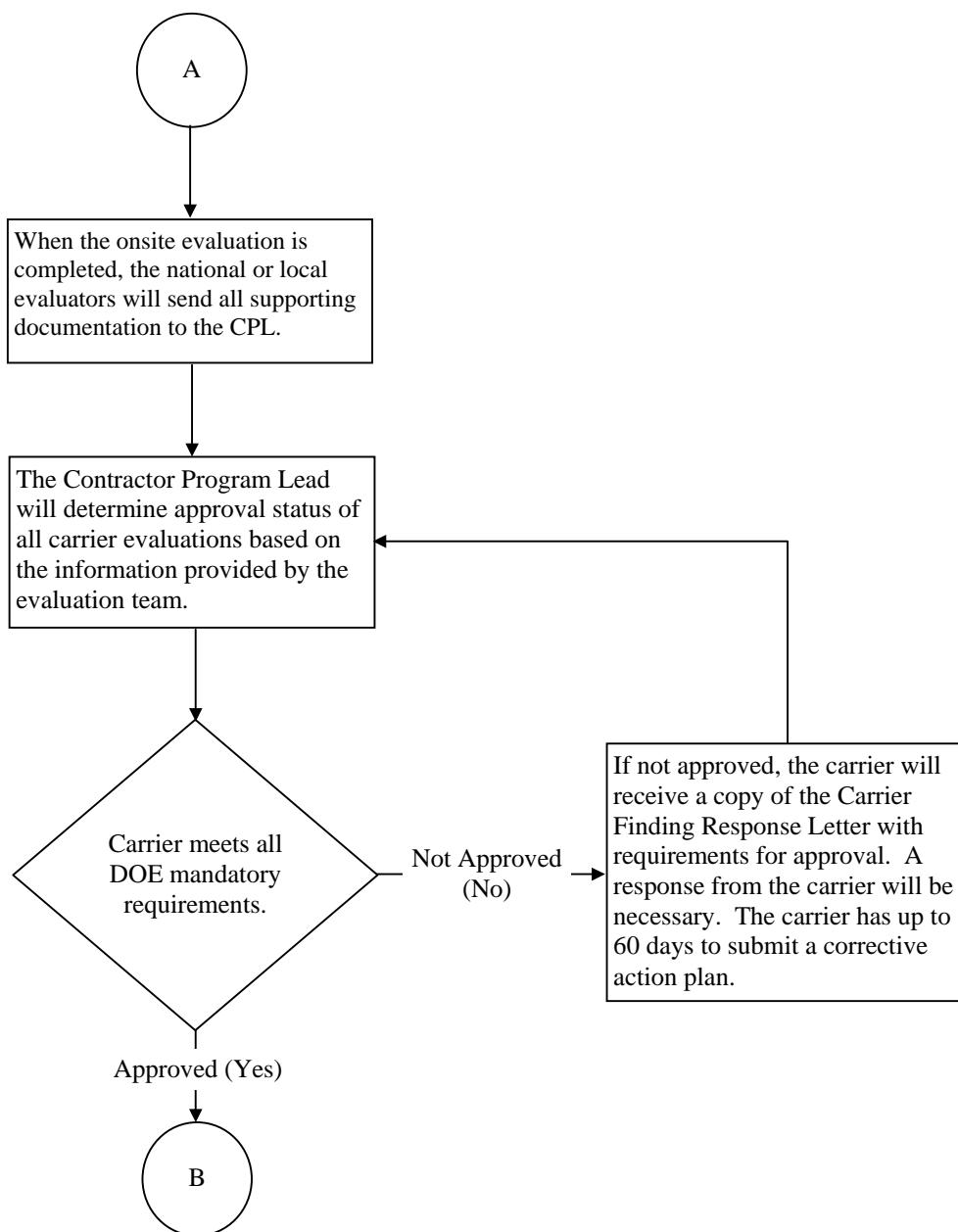
Attachment A Onsite Evaluation Process Flow Diagram
Attachment B - Onsite Carrier Confirmation Letter
Attachment C - Evaluation Sample Size Guide
Attachment D - Vehicle Maintenance File Checklist
Attachment E - Vehicle Inspection (Physical) Checklist
Attachment F - Driver Qualification File Checklist
Attachment G - Driver's Record of Duty Status Checklist
Attachment H - HAZMAT Employee Training Checklist
Attachment I - DOT & DOE Mandatory Onsite Evaluation Tables and Criteria
Attachment J - Carrier Finding Response Letter
Attachment K - Carrier Closeout Letter

Attachment A
Onsite Evaluation Process Flow Diagram



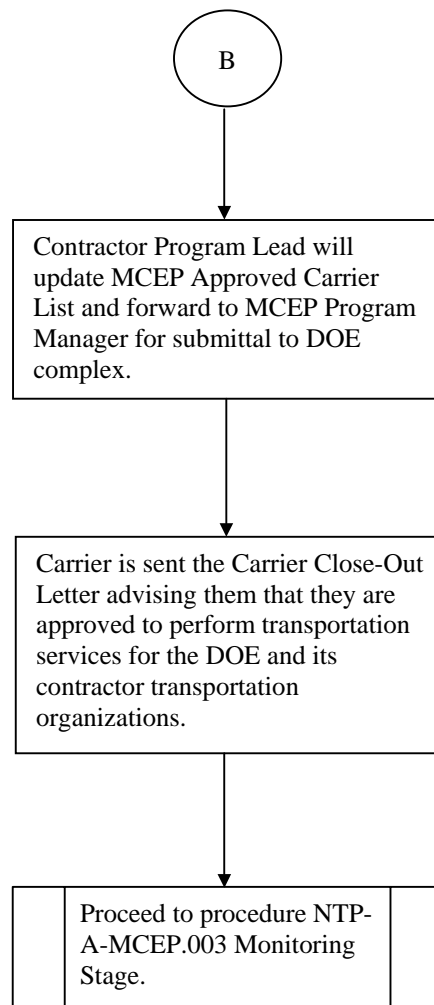
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Attachment A (cont.)
Onsite Evaluation Process Flow Diagram



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Attachment A (cont.)
Onsite Evaluation Process Flow Diagram



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Attachment B **Onsite Carrier Confirmation Letter (Example)**

(Name of Carrier Point of Contact)

Name *(Carrier)*

Address

City, State, Zip

Dear *(Name of Carrier Point of Contact)*:

I would like to thank you for the opportunity to evaluate *(Carrier)* on behalf of the U.S. Department of Energy (DOE) National Transportation Programs-Albuquerque (NTP-A) Motor Carrier Evaluation Program (MCEP). The purpose of this program is to evaluate carriers to ensure that only highly qualified, MCEP-approved carriers are utilized to transport commodities for DOE and its contractors, especially hazardous materials including radioactive materials and hazardous waste.

The confirmed dates for this evaluation are *(dates)*. The evaluation team will be comprised of *(Names and Titles of those participating in the onsite evaluation, including any observers)*. During our visit we will need to have your driver files, equipment maintenance records, and driver logs available for inspection, along with supporting documentation including:

Port of Entry receipts	Delivery receipts	Fuel receipts	Toll receipts
Bills of lading	Weight tickets	Trip reports	Accident reports
Security guard reports	State vehicle inspection reports	Time-clock records	
Driver Vehicle Inspection Reports		State speeding/moving citations	

General topics of discussion will include insurance and claims, safety, emergency response, carrier equipment, customer service, selection, training, maintenance of equipment, security, and hazardous material. Other areas of discussion will include waste transportation and cargo tank operations as applicable.

A current copy of your SafetyNet Report from the Federal Highway Administration is enclosed for your review. The SafetyNet Report is a comprehensive summary of a motor carrier's safety performance over a two-to-four-year period. It is a profile of consolidated information from state and federal sources that includes data such as vehicle and driver inspections, accident summaries, and a history of compliance compiled by the Motor Carrier Management Information System for the Federal Motor Carrier Safety Administration (FMCSA) Data Analysis & Information Systems Division. Please review your SafetyNet Report for accuracy as the relevant information and statistics provided in this report will be discussed during the onsite evaluation process.

This onsite evaluation/validation process also will provide *(Carrier)* with specific information about the expectations that NTP-A has established for those carriers selected to transport DOE-owned hazardous commodities. If you and/or your staff have any questions, please contact *(Name of person signing letter)*, or *(name of contact person)* of my staff at *(phone number)*.

Sincerely,

(Signature and Title)

Enclosures

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Attachment C

Evaluation Sample Size Guide

The following tables and instructions identify the number of files to be reviewed during an onsite evaluation to determine a carrier's compliance with regulations in its hiring practices, driver management, Drivers' Hours of Service (HOS) records, and maintenance policies and procedures.

Note to evaluators:

- If the Federal Motor Carrier Safety Administration (FMCSA) has performed a Compliance Review of the carrier within the past 9 months and if the carrier's SEA values are 25 or less, no duplicate reviews of Compliance Review items are necessary. For example, if the FMCSA Compliance Review included hours of service records, and the Driver SEA value is 18, no review of the carrier's HOS files will be required. If the FMCSA Compliance Review included maintenance files and the Vehicle SEA is 24, no review of the carrier's maintenance files will be required.
- If during review of the sample records a systematic problem emerges, any further review can be ceased with approval of Evaluation Team Leader.

1. Vehicle Inspection and Maintenance

The purpose of this review is to establish the effectiveness of the maintenance practices of a motor carrier, equipment inspections by drivers, and carrier follow-up, as well as the overall condition of the motor carrier's vehicles. A carrier's maintenance system involves three elements: vehicle maintenance, vehicle inspection reports, and maintenance records. When possible, evaluators should select drivers' daily written vehicle inspection reports and the maintenance records that coincide with the vehicles available for inspection.

Vehicle and maintenance files should be selected in the following order:

- Vehicles involved in accidents (evaluators should ask to see accident register 49 CFR, Part 390.15)
- Vehicles cited for equipment violations during roadside inspections
- Inspection/maintenance records for at least one of each type of vehicle operated (if possible)

In addition, a random selection should be made from the balance of the maintenance files to make up the total number to be examined based on the number of vehicles subject to Federal Motor Carrier Safety Regulations (FMCSRs).

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Number of Vehicles Subject to FMCSRs	Minimum Number of Vehicle Maintenance Files to Review
1 - 5	All
6 - 25	5
26 - 50	8
51 - 90	13
91 - 150	20
151 - 249	32
250 - Over	50

Note: Any vehicle violations and/or defects discovered during the evaluation should be identified to the carrier immediately. In addition to the Vehicle Maintenance Checklist, the Training and Qualification Checklist for all maintenance personnel should be completed.

2. Driver Qualification Files

A review of the Driver Qualification Files should be conducted to determine whether a carrier's hiring practices meet the requirements of 49 CFR, Part 391, and to verify the carrier's compliance with the regulations.

Selection of Driver Qualification Files should be based on the following criteria:

- Drivers involved in accidents (evaluators should ask to see accident register 49 CFR, Part 390.15)
- Drivers cited for driver qualification violations during roadside inspections

In addition, a random selection should be made from the balance of the Driver Qualification Files to make up the total number to be examined based on the number of drivers subject to FMCSRs.

Number of Drivers Subject to the FMCSRs	Minimum Number of Driver Qualification Files to be Reviewed
1 - 5	All
6 - 25	5
26 - 50	8
51 - 90	13
91 - 150	20
151 - 249	32
250 - Over	50

3. Drivers' Hours of Service

Drivers' HOS records (logbooks or timecards) should be reviewed to ensure that drivers are complying with the requirements of 49 CFR, Part 395, and that the carrier is strictly complying with the regulations by auditing time documents regularly and knowledgeably.

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Selection of files for examination should be based on the following criteria:

- Drivers involved in accidents (evaluators should ask to see accident register 49 CFR, Part 390.15)
- Drivers cited for Drivers' HOS violations during roadside inspections
- Carrier operations that have revealed noncompliance and may be linked to driver behavior

In addition to those listed above, additional time documents should be randomly selected from the table below to make up the total number to be examined based on the number of drivers subject to FMCSRs. The column titled "Minimum Number of Files to Review" indicates the minimum number of daily time documents to be examined. In other words, evaluators should only use a small number of additional time documents to verify logbook entries.

Number of Drivers Subject to FMCSR	Time Period of Records of Duty Status	Minimum Number of Different Drivers Selected	Minimum Number of Files to Review
1 - 5	1 – 2 months from prior 6 months	All	150
6 - 15	1 – 2 months from prior 6 months	5	150
16 - 50	1 – 2 months from prior 6 months	7	210
51 – 150	1 – 2 months from prior 6 months	11	330
151 – 500	1 – 2 months from prior 6 months	17	510
501 - Over	1 – 2 months from prior 6 months	27	810

Entries on the Drivers' Records of Duty Status must be compared to verified entries on other company documents to detect inconsistencies. Documents that include mileage or time and date entries can be used to verify Record of Duty Status entries. These may include:

Tachograph charts

Toll receipts

Fuel receipts

Accident reports

State vehicle inspection reports

Delivery receipts

Bills of lading

Weight tickets

Time-clock records

State speeding/moving citations

Maintenance records

Trip reports

Security guard reports

Port of entry receipts

4. Checklists

A master checklist for each of these three categories can be found in Attachments D through H to this procedure. These checklists should be copied prior to the onsite visit based on the number of drivers and vehicles reported by the carrier so that the evaluator has an individual checklist for the number of Driver Qualification Files, Logbooks, and Vehicle Maintenance Files to be examined.

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Attachment D
Vehicle Maintenance File Checklist

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Tractor Number:** _____ **Trailer Number:** _____ **Other:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

☐ ☐ ☐ ☐ Record Retention for Vehicle(s) [(49 CFR, Part 396.2(c)): _____

☐ ☐ ☐ ☐ Follows Systematic Periodic Maintenance (PM) plan (49 CFR, Part 396.3): _____

☐ ☐ ☐ ☐ Periodic (Annual) Inspection (49 CFR, Part 396.17): _____

☐ ☐ ☐ ☐ Maintains Driver Vehicle Inspection Reports (DVIR) (49 CFR, Part 396.11):

General Comments: _____

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Attachment E
Vehicle Inspection (Physical) Checklist

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Tractor Number:** _____ **Trailer Number:** _____ **Other:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

[] [] [] [] Vehicle(s) maintain required markings (49 CFR, Part 390.21): _____

[] [] [] [] Maintains Required Emergency Equipment on Vehicle (49 CFR, Part 392.8): ____

[] [] [] [] Vehicle Shows Validation of Current DOT Periodic (Annual) Inspection
[49 CFR, Part 396.17(c)]: _____

[] [] [] [] Copy of RSPA Hazmat Certificate of Registration on Vehicle: .

[] [] [] [] For a CMV currently "Out of Service" or a vehicle utilized as "Yard Use Only",
are they marked appropriately to prevent their use on the road? _____

General Comments: _____

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Attachment F
Driver Qualification File Checklist

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Driver Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

[] [] [] [] Application for Employment (49 CFR, Part 391.21): _____

[] [] [] [] Driving Record Inquiry (MVR) (49 CFR, Part 391.25): _____

[] [] [] [] Previous Employment Inquiry (49 CFR, Part 391.23): _____

[] [] [] [] Road Test Certification (49 CFR, Part 391.31 or 391.33):

[] Tractor/Trailer
[] Tank

[] Straight Truck
[] Flatbed

[] Dry Van
[] Other: _____

[] [] [] [] Medical Examination Certification (49 CFR, Part 391.41): _____

[] [] [] [] Annual Certification of Violations (49 CFR, Part 391.27): _____

[] [] [] [] Annual Review of Driving Record (49 CFR, Part 391.25): _____

[] [] [] [] Vehicle Operator's License (49 CFR, Part 383.23):

State: _____ Expiration: _____ Class: [] A [] B [] C [] Other: _____

Endorsements: [] None [] H [] X [] N [] T [] P [] Other: _____

Restrictions: [] Air Brake [] Other: _____

General Comments: _____

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Attachment G
Driver's Record of Duty Status Checklist

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Driver Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

☐ ☐ ☐ ☐ Record of Duty Status (49 CFR, Part 395.1 or 395.8):

☐ Log Book ☐ On-board Computer ☐ Scannable Log ☐ Timecard

Form Contains Required Information:

<input type="checkbox"/> Date	<input type="checkbox"/> Main office address	<input type="checkbox"/> Name of co-driver
<input type="checkbox"/> Total miles driven today	<input type="checkbox"/> Driver's signature	<input type="checkbox"/> Total hours
<input type="checkbox"/> Tractor/trailer number(s)	<input type="checkbox"/> 24-hour period start time	<input type="checkbox"/> Shipping document No. or
<input type="checkbox"/> Name of carrier	<input type="checkbox"/> Remarks	commodity & Shipper

☐ ☐ ☐ ☐ Auditing log for form and manner errors: _____

☐ ☐ ☐ ☐ Monitoring receipt of logs within 13 days: _____

☐ ☐ ☐ ☐ Logs reviewed for Driver's Record of Duty Status errors: _____

Errors 11-hour rule: ☐ No ☐ Yes Log Date: _____

Errors 14-hour rule: ☐ No ☐ Yes Log Date: _____

Errors 70-hour rule: ☐ No ☐ Yes Log Date: _____

☐ ☐ ☐ ☐ Driver disciplined for falsifying data (Log Date): _____

☐ ☐ ☐ ☐ Logs maintained at principle place of business for 6 months: _____

☐ ☐ ☐ ☐ Supporting documents retained for at least 6 months: _____

General Comments: _____

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Attachment H
HAZMAT Employee Training Checklist

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Employee Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

Identified as a HAZMAT Employee (or Driver per 49 CFR, Part 171.8)? ☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files document training received (49 CFR, Part 172.704): _____

Identified to transport Highway Route Controlled Quantities (HRCQ) of radioactive materials?

☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files/document training received (49 CFR, Part 397.101): _____

Identified to transport hazardous materials in Cargo Tanks or Portable Tanks (49 CFR, Part 177.816)?

☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files/document training received (49 CFR, Part 177.816): _____

☐ ☐ ☐ ☐ Verify that recurrent training requirements have been met for 49 CFR, Parts 390 - 397 per 49 CFR, Part 177.816: _____

☐ ☐ ☐ ☐ Verify that relevant training requirements have been met for 49 CFR, Part 172.700: _____

General Comments: _____

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Attachment I

DOT & DOE Mandatory Onsite Evaluation Tables and Criteria

The following mandatory evaluation tables and criteria are designed for use in validating specific policies, procedures, programs, and information regarding the carrier's performance during the onsite portion of the entire evaluation process. These criteria and tables identify important issues to DOE and most are considered mandatory requirements for the carrier to meet in order to be an "approved" carrier. By the time the onsite evaluation is performed, the carrier has already gone through two reviews during the Initial Carrier Screening Process (See SOP NTP-A-MCEP.001). It would be unlikely that mandatory requirement issues would be found onsite however, in the event that mandatory requirements are not met, the following paragraph describes the process for DOE and the carrier to follow.

A carrier failing to meet all of the DOE mandatory requirements will not be considered "approved" until the problem is rectified. The carrier will be given 60 days to resolve the issue(s). Until the issues are resolved, the carrier will be placed in a "not approved" status and shall not be used until the carrier has corrected all the issues identified during the onsite evaluation. The sooner the resolution, the quicker the carrier can be "approved" however, if the carrier chooses, they may take the entire 60 days to correct any requirement not in compliance. All information provided by the carrier will be sent to the individual in charge of the onsite evaluation. This person will ensure that compliance has been met before forwarding all onsite evaluation information to the MCEP Contractor Program Lead.

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Onsite Evaluation Tables

A. Using the Checklists (Attachments D and E), verify that the carrier adheres to a written inspection, repair and maintenance policy.

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that the carrier has developed a policy for scheduled maintenance for all vehicles in its control per 49 CFR, Part 396.3(a).			
Verify that the carrier maintains records for all vehicles in its control for 30 consecutive days or more per 49 CFR, Part 396.3(b). (Per the sample size)			
Verify that the carrier maintains driver vehicle inspection reports for a period of 3 months per 49 CFR, Part 396.11(c)(2). (Per the sample size)			
Verify that the carrier performs periodic (annual) inspections and maintains accurate records per 49 CFR, Part 396.17-21. (Per the sample size)			
Verify the carrier maintains Maintenance Inspector Qualifications per 49 CFR, Part 396.19.			
Verify the carrier maintains Qualifications of Brake Inspectors per 49 CFR, Part 396.25.			
Using the Vehicle Inspection Checklist, inspect vehicles (if applicable) at the facility to verify the following:			
a. That proof of periodic (annual) inspection is carried on each CMV per 49 CFR, Part 396.17 (or current CVSA equivalency)			
b. That the carrier's CMVs are marked to meet DOT requirements per 49 CFR, Part 390.21			
c. Verify that carriers transporting HAZMAT maintain a copy of the HAZMAT certificate of registration at their principal place of business and on the vehicle per 49 CFR, Part 107.620(b)			
Standard: The carrier is knowledgeable of requirements to ensure that its vehicles meet the applicable requirements of 49 CFR 107, 390, and 396 and Appendix G.	Reference: 49 CFR, Parts 107.620, 390.21, and 396, and Appendix G.		

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B. Using the Checklist (Attachment F), verify that the carrier has and maintains a Driver Qualification file for each driver of a commercial motor vehicle.

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that a completed and signed application for employment is in each file per 49 CFR, Part 391.21.			
Verify that a written record of contact with past employers exists per 49 CFR, Part 391.21.			
Verify a response from a state agency pursuant to 49 CFR, Part 391.23 (initial investigation for new hires).			
Verify a response of each state agency to the annual driver record inquiry with annual review and signature per 49 CFR, Part 391.25.			
Verify the existence of a driver's list or certificate relating to vehicle laws and ordinances per 49 CFR, Part 391.27.			
Verify issuance of a certificate of road test to drivers per 49 CFR, Part 391.31, or a copy of a license accepted as equivalent per 49 CFR, Part 391.33.			
Verify the Medical Examiner's Certificate per 49 CFR, Part 391.43.			
Verify that waivers are granted by the Regional Director of Motor Carriers as applicable per 49 CFR, Part 391.49			
Verify that the files of previous drivers are maintained for 3 years after their departure per 49 CFR, Part 391.51.			
Standard: The carrier establishes a Driver Qualification File for each individual hired to drive a commercial motor vehicle, and maintain and review each file to meet DOT requirements in 49 CFR, Part 391.	Reference: 49 CFR, Parts 391.21, 391.23, 391.25, 391.27, 391.31, 391.33, 391.43, 391.49 and 391.51.		

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C. Using the Checklist (Attachment G), verify the carrier's policy on maintaining and auditing Hours of Service of Drivers.

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that drivers submit time documents to meet the requirements of 49 CFR, Parts 395.8 and 395.1(e).			
Verify that the carrier maintains Driver's Hours of Service records for a period of six (6) months per 49 CFR, Parts 395.8 or 395.1(e)(5).			
Using the worksheet, verify that driver use the 100 air-mile radius driver exemption 395.1(e) comply with the following requirements:			
a. Operate within the 100 air-mile radius.			
b. Return to the reporting location and be released from work within 12 consecutive hours.			
c. Have at least 10 consecutive hours off duty separating each 12 hours on duty.			
d. Do not drive more that 11 hours following 10 consecutive hours off duty.			
Using the worksheet, verify that the carrier:			
a. Does not allow drivers to drive more than 11 hours following 10 consecutive hours off duty per 49 CFR, Part 395.3.			
b. Does not allow driver to drive for any period after the end of the 14 th hour after coming on duty following 10 consecutive hours off duty per 49 CFR, Part 395.3.			
c. Does not allow drivers to drive after being on duty 60 hours in 7 consecutive days (or 70 hours in 8 days) per 49 CFR, Part 395.3.			
Standard: Carrier is knowledgeable of the Drivers Hours of Service regulations requiring the submission, maintenance, and auditing of time documents for drivers of CMV per 49 CFR, Part 395.	Reference: 49 CFR, Parts 395.1, 395.3, and 395.8.		

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D. Using the Checklist (Attachment H), verify the carrier employees are trained to the regulations as applicable to the transportation of hazardous materials (HM).

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that all employees identified as HAZMAT employees per 49 CFR, Part 171.8 are trained to the requirements of Part 172, Subpart H Training as a minimum.			
Verify that all employees identified as HAZMAT employees per 49 CFR, Part 171.8 have satisfied the initial and recurrent training requirement as specified in 49 CFR, Part 172.704(c).			
Verify that all employees identified as HAZMAT employees per 49 CFR, Part 171.8 have satisfied the Security Awareness training requirement as specified in 49 CFR, Part 172.704(a)(4).			
Verify that all employees identified as HAZMAT employees of a person required to have a Security Plan Per 49 CFR, Part 172, Subpart I, have satisfied the In-depth Security Training requirement as specified in 49 CFR, Part 172.704(a)(5).			
Verify that all drivers identified as HAZMAT employees per 49 CFR, Part 171.8 are additionally trained to the applicable requirements of 49 CFR, Part 177.816.			
Verify that all drivers transporting Highway Route Controlled Quantities (HRCQ) of Class 7 materials receive additional training as identified in 49 CFR, Part 397.101(e).			
Standard: Carrier is knowledgeable of the regulations and trains its drivers and HAZMAT employees to meet the applicable DOT training requirements.	References: 49 CFR, Parts 171.8, 172.700, 177.816 and 397 as applicable.		

E. Verify that the carrier has implemented policy and procedures to ensure compliance for DOT Security Plan and Emergency Response.

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify the carrier has implemented a DOT Security Plan as applicable per 49 CFR 172.804.			
Verify the carrier's Emergency Response Procedures address and comply with the reporting requirements per 49 CFR 171.15 and 171.16.			
Standard: The carrier provides information or can demonstrate capabilities to comply with the requirements for a DOT Security Plan and Emergency Response.	References: 49 CFR, Parts 171.16 and 172.804, as applicable.		

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F. Verify that the carrier has implemented policy and procedures to ensure compliance with applicable sections of 49 CFR Part 180. (Tank Truck Operations Only)

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify the carrier provides additional training to meet the specialized requirements for cargo tanks and/or portable tanks per 49 CFR, Part 177.816(b).			
Verify that examinations, tests, and retests are performed to ensure tanker and fitting integrity as required by 49 CFR, Part 180.407(a).			
Verify that the carrier has a detailed process for inspecting cargo tanks that provides for the requirements of items on a frequency basis per 49 CFR, Part 180.407(c).			
Verify that the carrier maintains a file for each cargo tank that includes the manufacturers data report certificate and related papers as required in 49 CFR, Part 180.417(a)(1).			
Verify that those identified as a HAZMAT employee Registered Inspector or Design Certifying Engineer per 49 CFR 171.8 has documented training received per Part 172, Subpart H Training.			
Verify that those identified as a HAZMAT employee Registered Inspector or Design Certifying Engineer per 49 CFR 171.8 has the appropriated qualifications to perform inspection/testing duties.			
Verify that the carrier maintains certification that any Cargo tank inspector has been identified and registered with DOT as a Registered Inspector of Cargo Tanks or as a Design Certifying Engineer of Cargo Tanks per 49 CFR, Part 107.500			
Verify that the carrier has all necessary permits and paperwork to perform inspections, repair and testing of cargo tanks.			
Standard: The carrier provides information or can demonstrate capabilities to comply with the requirements for tank truck operation.	Reference: 49 CFR, Parts 177.816, 180.407, and 180.417.		

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G. Verify that the carrier correctly meets and enforces the requirements for controlled substances and alcohol use and testing.

DOT MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that the carrier has implemented an alcohol misuse and controlled substances use testing program to meet the requirements of 49 CFR, Parts 40 and 382.115(a).			
Verify that all drivers holding Commercial Driver's Licenses (CDL) are in the program per 49 CFR, Part 382.103.			
Verify that the carrier has and enforces a policy to remove drivers found to have alcohol concentrations greater than 0.02 but less than 0.04, from performing safety sensitive functions per 49 CFR, Part 382.505.			
From the annual summary, verify that the carrier meets the minimum requirement of 50% for random testing for controlled substances use per 49 CFR, Part 382.305.			
From the annual summary, verify that the carrier meets the minimum requirement of 10% for alcohol misuse testing per 49 CFR, Part 382.305.			
Verify that the carrier prepares and maintains a summary of the results of its alcohol and controlled substances testing for the previous year per 49 CFR, Part 382.403.			
Verify that the carrier only uses laboratories that are certified by DOT for its alcohol misuse and controlled substance abuse testing.			
Verify that the carrier meets the requirements for maintaining required records per 49 CFR, Part 382.401.			
Verify that the carrier ensures post-accident testing for alcohol misuse or controlled substances use has been performed per 49 CFR, Part 382.303.			
Verify that Managers and Supervisors have received training for alcohol misuse and controlled substances per 49 CFR, Part 382.603			
Standard: Carrier is knowledgeable of the requirements of 49 CFR, Parts 40 and 382, and has established a program designed to prevent accidents and injuries resulting from the misuse of alcohol or use of controlled substances by drivers of commercial motor vehicles.	Reference: 49 CFR, Parts 40, 392.103, 382.115, 382.305, and 382.505.		

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DOE-Specific Mandatory Onsite Evaluation Criteria

All responses to the questions below should be “Yes.” If a response of “No” is required, then appropriate action will have to be considered to possibly not approve a new carrier or place an existing approved carrier in temporary nonuse. Use the information gathered from the previous tables, initial screening, and the Onsite Evaluation to complete the DOE Mandatory Onsite Evaluation Criteria below.

DOE-Specific Mandatory Onsite Evaluation Criteria	Meets requirements		
	YES	NO	N/A
Onsite Evaluation			
1. The carrier must have an assets-to-liabilities ratio of 1.00 or higher.			
2. The carrier must have an operating ratio of 1.00 or lower.			
3. The carrier is not party to any pending or enforcement activities by regulatory agencies, state or local governments that would affect their ability to perform.			
4. The carrier has an emergency response plan that identifies roles and responsibilities for drivers and administrative staff.			
5. The carrier has and enforces a written disciplinary policy regarding drivers placed out-of-service who operate the vehicle before coming into compliance (jumping).			
6. The carrier has a training program to ensure the recurrent training of employees in the FMCSR.			
7. The carrier cannot interline shipments of hazardous waste with carriers who are not MCEP approved.			
8. The carrier cannot contract out/subcontract hazardous material shipments to other carriers that are not MCEP approved.			

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Attachment J **Carrier Finding Response Letter (Example)**

(Name of Carrier Point of Contact)

Name *(Carrier)*

Address

City, State, Zip

Dear *(Name of Carrier Point of Contact)*:

On behalf of the U. S. Department of Energy (DOE) National Transportation Program-Albuquerque (NTPA), we would like to thank *(Carrier)* for your cooperation in the recent evaluation that occurred *(Dates)*. This is a follow-up letter from the DOE Motor Carrier Evaluation Program (MCEP) Team documenting the closeout meeting that was held on *(Date)*, and the results of the onsite evaluation.

As discussed by the MCEP Team during the entrance and closeout meeting and letter dated *(Date)* (Attachment 1), the purpose of this evaluation was to determine *(Carrier's)* qualification to perform services in the transportation of DOE-owned hazardous waste and/or radioactive materials. The MCEP evaluation included review of *(Carrier's)* management systems, financial stability, company policies and procedures; along with driver's qualification files, hours of service, training, maintenance, and controlled substances use and alcohol misuse testing.

The findings¹, concern(s)², recommendations³, or positive observations the MCEP Team had regarding your operations are listed in Attachment 2. Presently, the MCEP Team has not recommended *(Carrier)* as a transporter of DOE-owned hazardous waste and/or radioactive materials. However, this can be reversed (carrier approval) if *(Carrier)* management corrects the items of findings and/or concern and a written response is provided to my office indicating the corrective actions that were implemented at *(Carrier)* within 30 days of receipt of this letter.

DOE NTPA will assess *(Carrier's)* response and determine if re-evaluation is warranted before placing *(Carrier)* as an approved MCEP carrier for DOE-owned hazardous waste and/or radioactive materials. Again, we appreciate the time and effort spent by *(Carrier)* during the evaluation process.

If you and/or your staff have any questions, please contact *(Name of person signing letter)*, or *(name of contact person)* of my staff at *(phone number)*.

Sincerely,

(Signature and Title)

Enclosures

¹ Findings are those items that require a corrective action plan due to their regulatory compliance nature and/or DOE requirement.

² Concerns are items not regulatory driven, but demonstrate management systems may not be in place to ensure safe transport of hazardous materials. They also require a corrective action plan.

³ Recommendations are those items that demonstrate best management practices. They are not required to be in the corrective action plan and do not have a regulatory driver associated with them.

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Attachment J (cont.)
Carrier Finding Response Letter (Example)

Attachment 1

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Attachment J (cont.)
Carrier Finding Response Letter (Example)

Attachment 2

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Attachment J (cont.)
Carrier Finding Response Letter (Example)

DRAFT REPORT

(Name of Carrier

Findings

<u>Item 1</u>	[Reference]
<u>Item 2</u>	[Reference]
<u>Item 3</u>	[Reference]

Concerns

<u>Item 1</u>	[Reference]
<u>Item 2</u>	[Reference]
<u>Item 3</u>	[Reference]

Recommendations

Positive Observations

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Attachment K
Carrier Closeout Letter (Example)

(Name and Title of Carrier Point of Contact)

Name *(Carrier)*

Address

City, State, Zip

Dear *(Name of Carrier Point of Contact)*:

On behalf of the U.S. Department of Energy (DOE) National Transportation Program-Albuquerque (NTPA), we would like to thank *(Carrier)* for your cooperation in the recent evaluation that occurred *(Dates)*.

(Carrier) has been "Approved" by the evaluation team as a carrier of DOE-owned hazardous waste and/or radioactive materials.

We sincerely appreciate the time and effort spent by *(Carrier)* during the evaluation process. We are very much aware of the effort put forth on our behalf. If you have any questions or require further information, please contact me at *(number of person signing the letter)* or *(name of individual)* of my staff, at *(phone number)*.

Sincerely,

(Signature and Title)